

Image

2874
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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(d))

Docket No.
12591-US

In Re Application Of: Siegfried Janz et al.

Serial No.
10/054,911

Filing Date
January 25, 2002

Examiner
Ellen E. Kim

Group Art Unit
2874

Title: **METHOD FOR POLARIZATION BIREFRINGENCE COMPENSATION IN A WAVEGUIDE
DEMULTIPLEXER USING A COMPENSATOR WITH A HIGH REFRACTIVE INDEX CAPPING LAYER**

Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

1. The Information Disclosure Statement submitted herewith is being filed after a Final Action under Section 1.113, or a Notice of Allowance under Section 1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is a certification as specified in 37 CFR 1.97(e).
2. Applicant hereby petitions for consideration of the Information Disclosure Statement submitted herewith. The Petition Fee specified in 37 CFR 1.17(i) is to be paid as follows:

- ☒ A check in the amount of **\$180.00** is attached.
☐ Charge Deposit Account No. _____ in the amount of _____
A duplicate of this sheet is attached.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

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I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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Signature

Dated: December 16, 2003

Richard J. Mitchell
34,519

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P.O. Box 957, Station B
Ottawa, ON, K1P 5S7
CANADA

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01/06/2004 ZJHAR1-00000096-10054911
01-FC-1806
180-00-00

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
12591-US

In Re Application Of: Siegfried Janz et al.

Serial No.
10/054,911

Filing Date
January 25, 2002

Examiner
Ellen E. Kim

Group Art Unit
2874

Invention: **METHOD FOR POLARIZATION BIREFRINGENCE COMPENSATION IN A WAVEGUIDE
DEMULTIPLEXER USING A COMPENSATOR WITH A HIGH REFRACTIVE INDEX CAPPING LAYER**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☒ Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Statement Under 37 CFR 1.97(e)(2)

- ☐ No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.



Signature

Dated: December 16, 2003

Richard J. Mitchell
34,519

MARKS & CLERK
P.O. Box 957, Station B
Ottawa, ON, K1P 5S7
CANADA

CC: 01/06/2004 ZJUHR1 00000096 10054911

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**FEE TRANSMITTAL
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** 180.00**Complete if Known**

Application Number	10/054,911
Filing Date	25 January 2002
First Named Inventor	Siegfried JANZ
Examiner Name	Ellen E. Kim
Art Unit	2874
Attorney Docket No.	12591-US

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:

Deposit Account Number

13-1717

Deposit Account Name

Marks & Clerk

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	0
1002	340	2002	170	Design filing fee	0
1003	530	2003	265	Plant filing fee	0
1004	770	2004	385	Reissue filing fee	0
1005	160	2005	80	Provisional filing fee	0
SUBTOTAL (1)					(\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid	
Independent Claims		-20** =		X	0	=	0
Multiple Dependent		-3** =		X	0	=	0
					0	=	0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$) 0

**or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	0
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	0
1053	130	1053	130	Non-English specification	0
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	0
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	0
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	0
1251	110	2251	55	Extension for reply within first month	0
1252	420	2252	210	Extension for reply within second month	0
1253	950	2253	475	Extension for reply within third month	0
1254	1,480	2254	740	Extension for reply within fourth month	0
1255	2,010	2255	1,005	Extension for reply within fifth month	0
1401	330	2401	165	Notice of Appeal	0
1402	330	2402	165	Filing a brief in support of an appeal	0
1403	290	2403	145	Request for oral hearing	0
1451	1,510	1451	1,510	Petition to institute a public use proceeding	0
1452	110	2452	55	Petition to revive - unavoidable	0
1453	1,330	2453	665	Petition to revive - unintentional	0
1501	1,330	2501	665	Utility issue fee (or reissue)	0
1502	480	2502	240	Design issue fee	0
1503	640	2503	320	Plant issue fee	0
1460	130	1460	130	Petitions to the Commissioner	0
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	0
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	0
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	0
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	0
1801	770	2801	385	Request for Continued Examination (RCE)	0
1802	900	1802	900	Request for expedited examination of a design application	0

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

180.00

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Richard J. Mitchell	Registration No. (Attorney/Agent)	34,519	Telephone	(613) 236-9561
Signature		Date	16 December 2003		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Complete if Known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

of

2

Application Number

10/054,911

Filing Date

25 January 2002

First Named Inventor

Siegfried JANZ

Art Unit

2874

Examiner Name

Ellen E. Kim

Attorney Docket Number

12591-US

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 01/44843 A1	06-21-2001			
		11109150 (Patent Abstracts of JP)	04-23-1999			

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2

of

2

Complete If Known

Application Number

10/054,911

Filing Date

25 January 2002

First Named Inventor

Siegfried JANZ

Art Unit

2874

Examiner Name

Ellen E. Kim

Attorney Docket Number

12591-US

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		K. WORHOFF, et al., "Birefringence compensation applying double-core waveguiding structures", IEEE Photonics Technology Letters, Vol. 11, No. 2, 1999, pages 206-208.	
		J.J. HE, et al., "Integrated polarization compensator for WDM waveguide demultiplexers", IEEE Photonics Technology Letters, Vol. 11, No. 2, 1999, pages 224-226.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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